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09/27/01

PTO/SB/05 (11-00)

Approved for release through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 020162000310

First Inventor

Taber, Jr., William S.

Title

LARGE SCALE PROCUREMENT OF ENERGY EFFICIENCY  
RESOURCES

Express Mail Label No.

EL 827036734

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning design patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification (Total Pages )  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) (Total Sheets )
5. ☒ Oath or Declaration (Total Pages )
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper number of pages
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

20350

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Jeffrey S. Mann

Registration No. (Attorney/Agent)

42,837

Signature

Date

09/25/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.  
SF 1272939 v1

09/25/01

Jc960 U.S. PTO

PTO/SB/17 (09-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

TOTAL AMOUNT OF PAYMENT (\$) 382

Application Number

Filing Date

09/25/2001

First Named Inventor

Taber, William Stevens

Examiner Name

Group Art Unit

Attorney Docket No.

020162-000300US

## METHOD OF PAYMENT

1. ☒

The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

20-1430

Deposit  
Account  
Name

Townsend and Townsend and Crew LLP

☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status.  
See 37 CFR 1.272. ☐ Payment Enclosed:☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description        | Fee Paid |
|----------------------|-----------------------|----------------------|-----------------------|------------------------|----------|
| 101                  | 710                   | 201                  | 355                   | Utility filing fee     | 355      |
| 106                  | 320                   | 206                  | 160                   | Design filing fee      |          |
| 107                  | 490                   | 207                  | 245                   | Plant filing fee       |          |
| 108                  | 710                   | 208                  | 355                   | Reissue filing fee     |          |
| 114                  | 150                   | 214                  | 75                    | Provisional filing fee |          |

SUBTOTAL (1)

(\$355)

## 2. EXTRA CLAIM FEES

|                       |    |       |   |   |                 |   |      |   |      |                   |             |
|-----------------------|----|-------|---|---|-----------------|---|------|---|------|-------------------|-------------|
| Total Claims          | 23 | -20** | = | 3 | Extra<br>Claims | X | \$9  | = | \$27 | Fee from<br>below | Fee<br>Paid |
| Independent<br>Claims |    | -3**  | = | 0 |                 | X | \$40 | = | \$0  |                   |             |
| Multiple<br>Dependent |    |       |   |   |                 | X |      | = |      |                   |             |

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description  |
|----------------------|-----------------------|----------------------|-----------------------|--|
| 103                  | 18                    | 203                  | 9                     | Claims in excess of 20                                     |
| 102                  | 80                    | 202                  | 40                    | Independent claims in excess of 3                          |
| 104                  | 270                   | 204                  | 135                   | Multiple dependent claim, if not paid                      |
| 109                  | 80                    | 209                  | 40                    | ** Reissue independent claims over original patent         |
| 110                  | 18                    | 210                  | 9                     | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$27)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description  | Fee<br>Paid |
|----------------------|-----------------------|----------------------|-----------------------|--|-------------|
| 105                  | 130                   | 205                  | 65                    | Surcharge - late filing fee or oath  |             |
| 127                  | 50                    | 227                  | 25                    | Surcharge - late provisional filing fee or cover sheet.                    |             |
| 139                  | 130                   | 139                  | 130                   | Non-English specification  |             |
| 147                  | 2,520                 | 147                  | 2,520                 | For filing a request for reexamination                                     |             |
| 112                  | 920*                  | 112                  | 920*                  | Requesting publication of SIR prior to Examiner action                     |             |
| 113                  | 1,840*                | 113                  | 1,840*                | Requesting publication of SIR after Examiner action                        |             |
| 115                  | 110                   | 215                  | 55                    | Extension for reply within first month                                     |             |
| 116                  | 390                   | 216                  | 195                   | Extension for reply within second month                                    |             |
| 117                  | 890                   | 217                  | 445                   | Extension for reply within third month                                     |             |
| 118                  | 1,390                 | 218                  | 695                   | Extension for reply within fourth month                                    |             |
| 128                  | 1,890                 | 228                  | 945                   | Extension for reply within fifth month                                     |             |
| 119                  | 310                   | 219                  | 155                   | Notice of Appeal   |             |
| 120                  | 310                   | 220                  | 155                   | Filing a brief in support of an appeal                                     |             |
| 121                  | 270                   | 221                  | 135                   | Request for oral hearing   |             |
| 138                  | 1,510                 | 138                  | 1,510                 | Petition to institute a public use proceeding                              |             |
| 140                  | 110                   | 240                  | 55                    | Petition to revive - unavoidable   |             |
| 141                  | 1,240                 | 241                  | 620                   | Petition to revive - unintentional   |             |
| 142                  | 1,240                 | 242                  | 620                   | Utility issue fee (or reissue)   |             |
| 143                  | 440                   | 243                  | 220                   | Design issue fee   |             |
| 144                  | 600                   | 244                  | 300                   | Plant issue fee  |             |
| 122                  | 130                   | 122                  | 130                   | Petitions to the Commissioner  |             |
| 123                  | 50                    | 123                  | 50                    | Petitions related to provisional applications                              |             |
| 126                  | 180                   | 126                  | 180                   | Submission of Information Disclosure Stmt                                  |             |
| 581                  | 40                    | 581                  | 40                    | Recording each patent assignment per property (times number of properties) |             |
| 146                  | 710                   | 246                  | 355                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |             |
| 149                  | 710                   | 249                  | 355                   | For each additional invention to be examined (37 CFR § 1.129(b))           |             |
| 179                  | 710                   | 279                  | 355                   | Request for Continued Examination (RCE)                                    |             |
| 169                  | 900                   | 169                  | 900                   | Request for expedited examination of a design application                  |             |

Other fee (specify)

The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)

Jeffrey S. Mann

Registration No. (Attorney/Agent)

42,837

Telephone

415-576-0200

Signature

Date

09/25/2001

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